

02-03-04

APPROVED

for

PTO DEPOSIT ACCOUNT CHARGE
ACCOUNT# 04-1700

PTO/SB/21 (08-00)

Deposited on: 02/02/2004

DUNLAP, CODDING & ROGERS, P.C. Approved for use through 10/31/2002. OMB 0651-0031
U.S. Patent and Trademark Office: U.S. DEPARTMENT OF COMMERCE**TRANSMITTAL
FORM**

(to be used for all correspondence after initial filing)

Application Number	09/938,039
Filing Date	08/23/2001
First Named Inventor	Karl W. Terry et al.
Group Art Unit	1712
Examiner Name	M. Zimmer
Attorney Docket Number	7124.015

Total Number of Pages in This Submission

ENCLOSURES (check all that apply)

- ☒ Fee Transmittal Form
☐ Fee Attached
☐ Amendment / Reply
☐ After Final
☐ Affidavits/declaration(s)
☐ Extension of Time Request
☐ Express Abandonment Request
☒ Information Disclosure Statement
☐ Certified Copy of Priority Document(s)
☐ Response to Missing Parts/
Incomplete Application
☐ Response to Missing Parts
under 37 CFR 1.52 or 1.53

- ☐ Assignment Papers
(for an Application)
☐ Drawing(s)
☐ Licensing-related Papers
☐ Petition
☐ Petition to Convert to a
Provisional Application
☐ Power of Attorney, Revocation
Change of Correspondence
Address
☐ Terminal Disclaimer
☐ Request for Refund
☐ CD, Number of CD(s) _____

- ☐ After Allowance Communication
to Group
☐ Appeal Communication to Board
of Appeals and Interferences
☐ Appeal Communication to Group
(Appeal Notice, Brief, Reply Brief)
☐ Proprietary Information
☐ Status Letter
☒ Other Enclosure(s) (please
identify below):

See remarks below:

Remarks

1. Supplemental Information Disclosure Statement (5 pages);
2. Supplemental Form 1449 (3 pages);
3. Fee Transmittal (1 page);
4. Transmittal Form (1 page); and
5. Postcard.

SIGNATURE OF APPLICANT, ATTORNEY, OR AGENTFirm
or
Individual nameDUNLAP, CODDING & ROGERS, P.C., Customer Number 30589
P. O. Box 16370, Oklahoma City, Oklahoma 73113

Signature

Date

2.2.04

CERTIFICATE OF MAILING

I hereby certify that this correspondence is being deposited with the United States Postal Service with sufficient postage as first class mail or U.S. Express
mail no. EL988726523US in an envelope addressed to the address below on this date: 02/02/2004

Typed or printed name

Douglas J. Sorocco, Reg. No. 43,145

Signature

Date

2.2.04

SEND TO: Commissioner for Patents
P.O. Box 1450
Alexandria, VA 22313-1450

APPROVED

for

PTO DEPOSIT ACCOUNT CHARGE
ACCOUNT# 1-1700

Express Mail No. 988726523US

Date Deposited:

02/02/2004

PTO/SB/17 (10-03)

Approved for use through 07/31/2006. OMB 0651-0032

DUNLAP, CODDING & ROGERS, P.C. U.S. Patent and Trademark Office; U.S. DEPARTMENT OF COMMERCE

**FEE TRANSMITTAL
for FY 2004**

Patent fees are subject to annual revision.

☐ Applicant claims small entity status. See 37 CFR 1.27

TOTAL AMOUNT OF PAYMENT

(\$ 180)

Complete if Known

Application Number	09/938.039
Filing Date	08/23/2001
First Named Inventor	Karl W. Terry et al.
Examiner Name	M. Zimmer
Art Unit	1712
Attorney Docket No.	7124.015

METHOD OF PAYMENT (check all that apply)
☐ Check ☐ Credit card ☐ Money Order ☐ Other ☐ None
☒ Deposit Account:
 Deposit
Account
Number
Deposit
Account
Name

04-1700

Dunlap, Coddling & Rogers, P.C.
Customer No. 30589

The Commissioner is authorized to: (check all that apply)

☒ Charge fee(s) indicated below ☒ Credit any overpayments☒ Charge any additional fee(s) during the pendency of this application☐ Charge fee(s) indicated below, except for the filing fee to the above-identified deposit account.**FEE CALCULATION****1. BASIC FILING FEE**

Large Entity		Small Entity		Fee Description	Fee Paid
Fee Code	Fee (\$)	Fee Code	Fee (\$)		
1001	770	2001	385	Utility filing fee	
1002	340	2002	170	Design filing fee	
1003	530	2003	265	Plant filing fee	
1004	770	2004	385	Reissue filing fee	
1005	160	2005	80	Provisional filing fee	
SUBTOTAL (1)					(\$ 0)

2. EXTRA CLAIM FEES FOR UTILITY AND REISSUE

Total Claims	Extra Claims	Fee from below	Fee Paid
Independent	** =	X	\$0
Multiple Dependent	** =	X	\$0
			\$0

Large Entity		Small Entity		Fee Description
Fee Code	Fee (\$)	Fee Code	Fee (\$)	
1202	18	2202	9	Claims in excess of 20
1201	86	2201	43	Independent claims in excess of 3
1203	290	2203	145	Multiple dependent claim, if not paid
1204	86	2204	43	** Reissue independent claims over original patent
1205	18	2205	9	** Reissue claims in excess of 20 and over original patent

SUBTOTAL (2)

(\$ 0)

**or number previously paid, if greater; For Reissues, see above

FEE CALCULATION (continued)**3. ADDITIONAL FEES**

Large Entity		Small Entity		Fee Description	Fee Paid
Fee Code	Fee (\$)	Fee Code	Fee (\$)		
1051	130	2051	65	Surcharge - late filing fee or oath	
1052	50	2052	25	Surcharge - late provisional filing fee or cover sheet	
1053	130	1053	130	Non-English specification	
1812	2,520	1812	2,520	For filing a request for <i>ex parte</i> reexamination	
1804	920*	1804	920*	Requesting publication of SIR prior to Examiner action	
1805	1,840*	1805	1,840*	Requesting publication of SIR after Examiner action	
1251	110	2251	55	Extension for reply within first month	
1252	420	2252	210	Extension for reply within second month	
1253	950	2253	475	Extension for reply within third month	
1254	1,480	2254	740	Extension for reply within fourth month	
1255	2,010	2255	1,005	Extension for reply within fifth month	
1401	330	2401	165	Notice of Appeal	
1402	330	2402	165	Filing a brief in support of an appeal	
1403	290	2403	145	Request for oral hearing	
1451	1,510	1451	1,510	Petition to institute a public use proceeding	
1452	110	2452	55	Petition to revive - unavoidable	
1453	1,330	2453	665	Petition to revive - unintentional	
1501	1,330	2501	665	Utility issue fee (or reissue)	
1502	480	2502	240	Design issue fee	
1503	640	2503	320	Plant issue fee	
1460	130	1460	130	Petitions to the Commissioner	
1807	50	1807	50	Processing fee under 37 CFR 1.17(q)	
1806	180	1806	180	Submission of Information Disclosure Stmt	180
8021	40	8021	40	Recording each patent assignment per property (times number of properties)	
1809	770	2809	385	Filing a submission after final rejection (37 CFR 1.129(a))	
1810	770	2810	385	For each additional invention to be examined (37 CFR 1.129(b))	
1801	770	2801	385	Request for Continued Examination (RCE)	
1802	900	1802	900	Request for expedited examination of a design application	

Other fee (specify)

*Reduced by Basic Filing Fee Paid

SUBTOTAL (3) (\$ 180)

SUBMITTED BY

(Complete if applicable)

Name (Print/Type)

Douglas J. Sorocco

Registration No.
(Attorney/Agent)

43,145

Telephone (405) 607-8600

Signature

Date

02/02/2004

Commissioner for Patents
PO Box 1450, Alexandria, VA 22313-1450



Express Mail No. EL988726523US
Mailed: February 2, 2004

PATENT

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicant: Karl W. Terry et al.) Atty. Dkt. No. 7124.015
Serial No.: 09/938,039)
Filed: August 23, 2001)
For: COMPOSITION FOR PROVIDING AN ABRASION RESISTANT COATING ON A
SUBSTRATE WITH A MATCHED REFRACTIVE INDEX AND CONTROLLED
TINTABILITY

Commissioner for Patents
P.O. Box 1450
Alexandria, VA 22313-1450

**SUPPLEMENTAL
INFORMATION DISCLOSURE STATEMENT**

**List of Sections Forming Part of This
Information Disclosure Statement**

The following sections are being submitted for this Information Disclosure Statement:

1. ☒ Preliminary Statements
2. ☒ Forms PTO/SB/08A and 08B (formerly Form PTO-1449)
3. ☐ Statement as to Information Not Found in Patents or Publications
4. ☐ Identification of Prior Application in Which Listed Information Was Already Cited and for Which No Copies Are Submitted or Need Be Submitted
5. ☐ Cumulative Patents or Publications
6. ☐ Copies of Listed Information Items Accompanying this Statement

02/06/2004 AWONDAF1 00000013 041700 09938039

01 FC:1806 180.00 DA

- 7. ☐ Concise Explanation of Non-English Language Listed Information Items
 - 7A. ☐ EPO Search Report
 - 7B. ☐ English Language Version
- 8. ☐ Translation(s) of Non-English Language Documents
- 9. ☐ Concise Explanation of English Language Listed Information Items (Optional)
- 10. ☒ Identification of Person(s) Making this Information Disclosure Statement

Section 1. Preliminary Statements

Applicants submit herewith patents, publications or other information of which they are aware, which they believe may be material to the examination of this application and in respect of which there may be a duty to disclose.

The filing of this information disclosure statement shall not be construed as a representation that a search has been made (37 C.F.R. § 1.97(g)), an admission that the information cited is, or is considered to be, material to patentability or that no other material information exists.

The filing of this information disclosure statement shall not be construed as an admission against interest in any manner. Notice of January 9, 1992, 1135 O.G. 13-25, at 25.

Section 2. Forms PTO/SB/08A and 08B (formerly Form PTO-1449)

- ☒ A completed Form PTO/SB/08A and/or Form PTO/SB/08B is attached hereto.

Section 3. Statement as to Information Not Found in Patents or Publications (Information Not Listed in Form PTO-1449)

Section 4. Identification of Prior Application in Which Listed Information Was Already Cited and for Which No Copies Are Submitted or Need Be Submitted

This application relies, under 35 U.S.C. § 120, on the earlier filing date of prior application Serial No. _____, filed on _____ (date).

(complete the following, if applicable)

- ☐ This application also relies, under 35 U.S.C. 120, on the earlier filing date of prior application Serial No. _____, filed on _____ (date).

The following references were submitted to, and/or cited by, the Office in the prior application(s) and therefore, are not required to be provided in this application:

Section 5. Cumulative Patents or Publications

STATEMENT

_____ is cumulative of the following patents or publications listed on Form PTO-1449:

In accordance with 37 C.F.R. § 1.98(c), a copy of only _____ is being submitted with this Information Disclosure Statement.

Section 6. Copies of Listed Information Items Accompanying this Statement

Legible copies of all items listed in Form PTO-1449 (Modified) accompany this information disclosure statement.

- ☐ Exception(s) to above:
- ☐ Items in prior application from which an earlier filing date is claimed for this application, as identified in Section 4.
- ☐ Cumulative patents or publications identified in Section 5.

Section 7. Concise Explanation of Non-English Language Listed Information Items

Section 7A. Concise Explanation of Non-English Language Listed Information Items - EPO Search Report

The relevance with respect to the following citations listed on Form PTO-1449:

is submitted on the basis of accompanying:

(check the appropriate item)

- ☐ EPO search report that is in the English language,
- ☐ EPO search report that is not in the English language and that is accompanied also by an English language version of the EPO search report,

that issued on the corresponding European patent application.

**Section 7B. Concise Explanation of Non-English Language Listed Information Items
- English Language Version of EPO Search Report**

Section 8. Translation(s) of Non-English Language Documents

- ☐ Submitted herewith is an English translation of the following foreign language patents, publications or information or of those portions of those patents, publications or information considered to be material:

(complete the following, if applicable)

- ☐ No English language translations of the foreign language patents, publications or information or parts thereof are readily available, except for those listed above.
- ☐ The following foreign language documents submitted are believed to be the equivalent or substantial equivalent of the English language documents identified below, which are also submitted herewith.

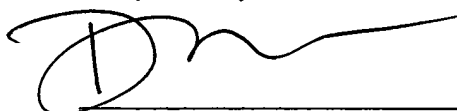
**Section 9. Concise Explanation of English Language Listed Information Items
(OPTIONAL)**

Section 10. Identification of Person(s) Making this INFORMATION DISCLOSURE STATEMENT

The person making this statement is the agent/attorney who signs below on the basis of the information:

- ☐ supplied by the inventor(s)
- ☐ supplied by an individual associated with the filing and prosecution of this application (37 C.F.R. § 1.56(c)).
- ☒ in the agent/attorney's file

Respectfully submitted,



Douglas J. Sorocco, Reg. No. 43,145
DUNLAP, CODDING & ROGERS, P.C.
P.O. Box 16370, Customer No. 30589
Oklahoma City, Oklahoma 73113
Telephone: 405/607-8600
Facsimile: 405/607-8686

Attorney for Applicant



Express Mail:EL988726523US
Date Deposited: February 2, 2004

Substitute for form 1449A/PTO

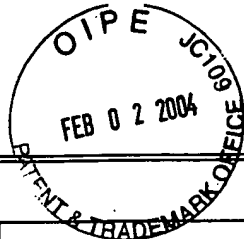
SUPPLEMENTAL INFORMATION DISCLOSURE STATEMENT BY APPLICANT

Complete if Known	
Application Number	09/938,039
Filing Date	08/23/2001
First Named Inventor	Karl W. Terry et al.
Group Art Unit	1712
Examiner Name	M. Zimmer
Attorney Docket Number	7124.015

(use as many sheets as necessary)

U. S. PATENT DOCUMENTS

EXAM INIT.	Cite No. 1	U.S. PATENT NUMBER Number							Kind Code2 (if known)	Name of Patentee or Applicant of Cited Document	Date of Publication of Cited Document MM-DD-YYYY	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear
		3	7	8	0	1	3	2		Lohr	12/18/1973	
		3	9	2	2	4	4	0		Wegworth et al.	11/25/1975	
		4	0	2	7	0	7	3		Clark	05/31/1977	
		4	0	8	1	4	2	1		Yoshida et al.	03/28/1978	
		4	3	5	5	1	3	5		January	10/19/1982	
		4	3	9	0	3	7	3		White et al.	06/28/1983	
		4	4	0	5	6	7	9		Fujoika et al.	09/1983	
		4	4	4	2	1	6	8		White et al.	04/10/1984	
		4	4	8	5	1	3	0		Lampin et al.	11/27/1984	
		4	5	9	4	2	9	0		Fischer et al.	06/10/1986	
		4	7	5	6	8	2	7		Mayer	07/12/1988	
		5	0	1	3	6	0	8		Guest et al.	05/1991	
		5	0	1	3	7	8	8		Nagashima et al.	05/07/1991	
		5	1	0	2	6	9	5		Guest et al.	04/07/1992	
		5	1	2	0	8	1	1		Glotfelter et al.	06/09/1992	
		5	3	1	4	9	4	7		Sarawagi	05/24/1994	
		5	3	1	6	7	9	1		Farber et al.	05/31/1994	
		5	3	6	7	0	1	9		Sawaragi	11/22/1994	
		5	7	8	9	0	8	2		Treadway	08/04/1998	



U. S. PATENT DOCUMENTS

EXAM INIT.	Cite No. 1	U.S. PATENT NUMBER Number							Kind Code2 (if known)	Name of Patentee or Applicant of Cited Document	Date of Publication of Cited Document MM-DD-YYYY	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear
		5	7	8	9	4	7	6		Iryo et al.	08/1998	
		5	9	0	7	0	0	0		Treadway	05/1999	
		5	9	1	9	8	6	0		Roesler et al.	07/1999	
		5	9	5	8	5	1	4		Havey et al.	09/28/1999	
		6	0	0	1	1	6	3		Havey et al.	12/1999	
		6	0	5	7	0	3	9		Takeshita et al.	05/2000	
		6	3	4	2	0	9	7		Terry et al.	01/29/2002	
		6	3	4	6	3	3	1		Harvey et al.	02/12/2002	
		6	3	4	8	2	6	9		Terry	02/19/2002	
		6	5	3	8	0	9	2		Terry et al.	03/25/2003	

FOREIGN PATENT DOCUMENTS

EXAM INIT.	Cite No. 1	Foreign Patent Document				Name of Patentee or Applicant of Cited Document	Date of Publication of Cited Document MM-DD-YYYY	Pages, Columns, Lines Where Relevant Passages or Relevant Figures Appear
		Kind Code5 Office 3	Number 4	(if known)				
			2071692	Canada			12/26/1992	
			DE4020316 A1	Germany			01/09/1992	
			DE4118826 A1	Germany			12/12/1991	
			EP0407174 A	EP			01/09/1991	
			EPB0570165	EPB			10/29/1997	
			EPB0601782	EPB			05/28/1997	
			EPO526975 A2	EPO			02/10/1993	
			JP4198379	Japan			07/17/1992	
			JP446975	Japan			02/17/1992	
			JP58141250	Japan			08/22/1983	
			WO9516522	PCT			06/22/1995	
			WO9629154	PCT			09/26/1996	
			WO9846692A	PCT			10/22/1998	



FOREIGN PATENT DOCUMENTS

EXAM INIT.	Cite No. 1	Foreign Patent Document			Name of Patentee or Applicant of Cited Document	Date of Publication of Cited Document MM-DD-YYYY	Pages, Columns, Lines Lines, Where Relevant Passages or Relevant Figures Appear
		Kind Code5 Office 3	Number 4	(if known)			
			WO00/24831	PCT		05/04/2000	
			07-291817	Japan		11/1995	
			09-118757	Japan		05/1997	

OTHER PRIOR ART-NON PATENT LITERATURE DOCUMENTS

Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published

		Chemical Abstract, Vol. 126, No. 1, January 1997, Columbus, Ohio, US; Abstract No. 9335, KATO, H., E.A.: "Siloxane coat compositions with improved resistance to abrasion, UV, and heat for plastic optical materials" XP002075220 (see abstract & JP 08 239 627 A (Ito Optical Ind Co. Ltd.)
		"Cycloaliphatic Epoxide Based Sol-Gel Derived Materials"; Better Ceramics Through Chemistry VI, Material Research Society Symposium Proceedings, 1994, V. 346 Sigel, Domszy and Welch
		"New Type of A Sol-Gel-Derived Inorganic-Organic Nanocomposite"; Better Ceramics Through Chemistry VI, Material Research Society Symposium Proceedings, 1994, V. 346, Kasemann, Schmidt, Wintrich

EXAMINER

DATE CONSIDERED

EXAMINER: Initial if citation considered, whether or not citation is in conformance and not considered. Include copy of this form with next communication to applicant. **Place of Publication refers to name of publication in which the information was published.